ORM PTO-1390 (Modified) REV 11-2000) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE 010456 TRANSMITTAL LETTER TO THE UNITED STATES U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5) DESIGNATED/ELECTED OFFICE (DO/EO/US) 09/807947 CONCERNING A FILING UNDER 35 U.S.C. 371 PRIORITY DATE CLAIMED INTERNATIONAL APPLICATION NO. INTERNATIONAL FILING DATE PCT/DE99/03362 16 October 1999 21 October 1998 L TITLE OF INVENTION Integrated Polycrystalline Silicon Resistor with Carbon or Germanium APPLICANT(S) FOR DO/EO/US MEHR, Wolfgang Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371. This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 2. This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include itens (5), (6), (9) and (24) indicated below. 3. The US has been elected by the expiration of 19 months from the priority date (Article 31). 4. X 5. A copy of the International Application as filed (35 U.S.C. 371 (c) (2)) is attached hereto (required only if not communicated by the International Bureau). X has been communicated by the International Bureau. is not required, as the application was filed in the United States Receiving Office (RO/US). An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). is attached hereto. \times has been previously submitted under 35 U.S.C. 154(d)(4). Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) are attached hereto (required only if not communicated by the International Bureau). X have been communicated by the International Bureau. b. have not been made; however, the time limit for making such amendments has NOT expired. ¢. have not been made and will not be made. An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). 10. X An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)). X A copy of the International Preliminary Examination Report (PCT/IPEA/409). 11. 12. A copy of the International Search Report (PCT/ISA/210). Items 13 to 20 below concern document(s) or information included: 13. An Information Disclosure Statement under 37 CFR 1.97 and 1.98. An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 14. X 15. A FIRST preliminary amendment. 16. A SECOND or SUBSEQUENT preliminary amendment. 17. A substitute specification. 18. A change of power of attorney and/or address letter. 19. A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825. 20. A second copy of the published international application under 35 U.S.C. 154(d)(4).

Certificate of Mailing by Express Mail

Other items or information:

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A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

U.S. Al	s, application no. (if known, see 37 cfr 1) International application no.							ATTORNEY'S DOCKET NUMBER							
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24. The following fees are submitted:. CALCULATIONS BASIC NATIONAL FEE (37 CFR 1 492 (a) (1) - (5)):										PTO USE ONLY					
BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO															
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IN THE UNITED STATES PATENT & TRADEMARK OFFICE

International Application No.: PCT/DE99/03362 International Filing Date: 16 October 1999

Inventor: Mehr, Wolfgang

For: Integrated Polycrystalline Silicon Resistor

with Carbon or Germanium

86 Sparks Street Cambridge MA 02138-2216 19 April 2001

Hon. Assistant Commissioner for Patents Washington DC 20231

Box PCT

Preliminary Amendment

Sir:

With a view to placing the English translation of his instant International Application as annexed to the International Preliminary Examination Report into a form believed to satisfy current U.S. patent prosecution standards, Applicant courteously requests that the following amendment be entered into the application.

In the Specification:

Page 1, line 7: insert -- BACKGROUND OF THE INVENTION .--;

line 8: insert -- 1. Field of the Invention.--

line 11: insert --2. The Prior Art.--;

page 2, line 8: insert -- OBJECTS OF THE INVENTION .--;

line 15: insert -- BRIEF SUMMARY OF THE INVENTION .--;

page 3, line 24: insert -- DESCRIPTION OF THE DRAWING.--;

line 27: insert -- DETAILED DESCRIPTION OF THE INVENTION .--;

page 5, line 1: cancel "Patent Claim" and substitute -- What is claimed is:--

therefor;

line 3: change "Integrated" to --An integrated--; and

line 9: change "Method" to --A method--.

Respectfully submitted,

Karl Hormann

Registration No.: 26,470

Area Code 617.491.8867

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 17) (5 AND 1.27 (c)) - SMALL BUSINESS CONCERN Docket No. 010456								
Seriativo.								
Spolicant/ Worksang Mark								
Invention: Integrated Polycrystalline Silicon Resistor with Carbon or Germanium .								
I hereby declare that I am: the owner of the small business concern identified below: an official of the small business concern empowered to act on behalf of the concern identified below:								
NAME OF CONCERN: IHP GmbH. Innovations for High P ADDRESS OF CONCERN: Im Technologiepark 25, D-1523	erformance Microelectronics In 36 Frankfurt (Oder), Germany	nstitut fuer innovative						
Hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both. Thereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above identified invention described in: The specification filed herewith with title as listed above. The application identified above.								
If the rights held by the above-identified small business organization having rights to the invention is listed on the person, other than the inventor, who could not qualify as concern which would not qualify as a small business concern to 37 CFR 1.9(e).	e next page and no rights to t s an independent inventor und	he invention are held by any der 37 CFR 1.9(c) or by any						

Each person, obligation unde	concern or er contract	organization to or law to assign	o which I h , grant, con	ave assigned, granted vey, or license any rigl	d, conveyed, or lichts in the invention	censed or am under an n is listed below:
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Page 1 of 2

		LAIMING SMALL ENTIT LL BUSINESS CONCERN	Y	Docket No. 010456						
Serial No. Filing Date Patent No. Issue Date 20 April 2001										
Applicant/ MEHR, Wolfgan Patentee:										
Invention: Integrated Polycrystalline Silicon Resistor with Carbon or Germanium										
I hereby declare that I am:										
	mall business concern identifie mall business concern empowe	d below: ered to act on behalf of the con-	cern ide	entified below:						
	GmbH. Innovations for High P Im Technologiepark 25, D-1523	Performance Microelectronics In 36 Frankfurt (Oder), Germany	stitut fu	er innovative						
13 CFR 121.3-18, and reprict (b) of Title 35, United State does not exceed 500 person is the average over the protection of temporary basis during each either, directly or indirectly, controls or has the power to hereby declare that rights concern identified above with	I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both. I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above identified invention described in:									
the specificatio	n filed herewith with title as list	ed above.								
	identified above.									
If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).										
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Each person, obligation und	, concern o der contract	r organizat or law to a	ion to which I ssign, grant, co	have assigned, grante nvey, or license any rig	ed, conveyed, or lights in the inventio	icensed or am under an on is listed below:
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NAME OF PER			Karl Hormani	n		
OTHER THAN ADDRESS OF	OWNER:		Attorney for the 86 Sparks Street Cambridge, M			
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Integrated Polycrystalline Silicon Resistor with Carbon or Germanium

The invention relates to an integrated high ohmic polycrystalline silicon resistor and to a method of its fabrication.

In microelectronics integrated resistors are being used in analog as well as in digital circuits or control circuits. These resistors are to posses the lowest possible tolerances and a high stability. Resistors based upon polycrystalline materials are a particularly cost-efficient variant, but for many applications high ohmic resistors in particular do not attain sufficient values of stability and tolerance.

In integrated circuits, semiconductor resistors are used because of their compatibility with conventional technological methods of fabrication and because of relatively simple possibilities of variation as, for instance, by doping. Amorphous as well as polycrystalline semiconductor layers, silicon in particular, are used as the basic material. Resistance properties such as, for instance, resistance value, resistance tolerances and temperature stability are essentially determined by the geometric dimensions of the resistance layer, by the basic material used, by the doping elements, the doping method applied, by the doping concentration and by the ensuing processes, above all by the temperature/time stresses arising in connection therewith.

Because of their grain structure, problems of stability arise in high ohmic polysilicon layers. These are caused in particular by the out-diffusion

of the dopants from the monocrystalline areas, the segregation of the dopants at the grain boundaries, the attachment of charge carriers in deep traps of the corn boundaries as well as by the formation of potential barriers at the corn boundaries associated therewith. The increase in resistance tolerance resulting therefrom, particularly by the temperature/time stress in ensuing process steps, and in the temperature coefficient leads to limitations in the application of high-ohmic polycrystalline resistors.

It is the task of the invention to propose an integrated high-ohmic polycrystalline silicon resistor and a method of its fabrication, in which the sensitivity to tolerances during the fabrication process and, hence, the resistance tolerance value are improved and the temperature coefficient is reduced relative to conventional resistors of this kind. Furthermore, it is a task of the invention to raise the stability of such resistors.

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This task is accomplished, in accordance with the invention, by reducing the diffusion or the diffusion coefficient of the doping elements within the monocrystalline grains by the incorporation of carbon and/or by the use of polycrystalline SiGe with or without the addition of carbon.

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In this manner it is possible to fabricate high-ohmic polysilicon resistors, having, in particular, resistance layer thicknesses $R_s \geq 10^3~\Omega/\Box$ with improved values of tolerance and stability.

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A precipitation of $Si_{l-y}C_y$ or SiGeC is used, instead of the hitherto conventional precipitation of pure and usually amorphous or polycrystalline Si layers followed by implantation and annealing or *in situ* doping with doping elements such as, for instance, boron, phosphorus, arsenic or antimony.

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In this connection use is being made of the effect that adding carbon leads to a reduction of the diffusion coefficient of the doping elements, in

particular of boron, and thus to a reduction or prevention of the segregation effects at the grain boundaries or of the out-diffusion of the doping elements from the monocrystalline areas. This results in stabilization of the potential barrier and thus leads to a reduction in the temperature dependency of the resistor.

The use of SiGe as a basic material also leads to reduced temperature dependency.

The addition of carbon and/or germanium to the silicon may be carried out, for instance, *in situ* or by implantation followed by annealing.

The above-mentioned effects are improved by combining the two additives as a SiGe layer.

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It is thus possible by the described method to fabricate high-ohmic polycrystalline silicon resistors with reduced temperature coefficients, increased stability and improved tolerance values.

Aside from the claims the characteristics of the invention are also apparent from the specification and drawings, the individual characteristics by themselves or in any combination constituting protectible embodiments for which protection is being sought here.

An embodiment of the invention is presented in the drawing and will be described in greater detail hereinafter.

Fig. 1 schematically depicts the structure of an integrated polycrystalline resistor. The resistor in accordance with the invention consists of a substrate 1, a dielectric substance 2, a doped polycrystalline layer 3 and metallic contacts 4. The polycrystalline layer 3 may consist of SiGeC, but

 $Si_{l-y}C_y$ or SiGe also lie within the ambit of the invention. The geometric dimensions and the doping of the polycrystalline layer 3 depend upon the resistance value to be achieved.

For purposes of fabrication, a dielectric substance 2 is precipitated on a substrate 1. This is followed by precipitation and structuring of the polycrystalline or still amorphous layer 3. In addition to boron doping, carbon and/or germanium is added to the silicon *in situ* or by implantation and subsequent annealing. The concentration of boron, carbon and germanium also depend upon the resistance value to be achieved. This is followed by a further precipitation of the dielectric substance 2 and by the fabrication of the metallic contacts 4.

In connection with the present invention, an integrated high-ohmic polycrystalline silicon resistor and a method of its fabrication have been described on the basis of a concrete embodiment. It is, however, to be noted that the present invention is not limited to details of the embodiment described, since alterations and mutations are being claimed within the scope of the claims.

Patent Claims

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- Integrated high-ohmic polycrystalline silicon resistor comprising a substrate (1), a dielectric substance (2), a resistance layer and contacts (4), the resistance layer consisting of a polycrystalline layer (3) of SiGe:C and the polycrystalline layer (3) being doped with doping elements, in particular boron or phosphorus.
- 2. Method of fabricating an integrated high-ohmic polycrystalline silicon resistor of claim 1, characterized by the method steps of:
- precipitating a dielectric substance (2) on a substrate (1), in particular a silicon wafer,
- forming a polycrystalline layer (3) of SiGe:C, the polycrystalline layer (3), the polycrystalline layer (3) being carried out by *in situ* precipitation of SiGe:C or implantation of Si with Ge:C followed by annealing, *)
 - doping the polycrystalline layer (3) with doping elements, in particular boron or phosphorus;
 - further precipitation of the dielectric substance (2) and fabricating the metallic contacts (4).
 - *) Something is amiss in this section of the German claim. It should (in English translation) correctly state: "...,the formation of the polycrystalline layer (3) being carried out...." (Translator's note).

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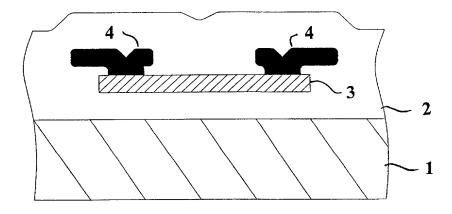


Fig. 1

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Docket No. 010456

Declaration and Power of Attorney For Patent Application

AEnglish Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

, W	which a patent is sought on the invention entitled								
I	Integrated Polycrystalline Silicon Resistor with Carbon or Germanium								
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-	is attached hereto. was filed on 20 April 2001/ as United States Application No. or PCT International								
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	hereby state that I have rencluding the claims, as ame	viewed and under ended by any ame	stand the contents of the above idendment referred to above.	lentified s	specification,				
₩k	acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.								
e S	Section 365(b) of any forei any PCT International app States, listed below and ha	gn application(s) blication which de we also identified ate or PCT Interna	er Title 35, United States Code, for patent or inventor's certificate, esignated at least one country o below, by checking the box, any fational application having a filing d	, or Secti ther thar foreign a	on 365(a) of the United pplication for				
ب د	Prior Foreign Application(s)			Priority	Not Claimed				
19	98 49 471.8	Germany	21 October 1998						
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. (Number)	(Country)	(Day/Month/Year Filed)						
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l hereby	claim	the	benefit	under	35	U.S.C.	Section	119(e)	of	any	United	States	provisional
applicatio	n(s) lis	ted b	elow:										

55 N/A	
(Application Serial No.)	(Filing Date)
(Application Serial No.)	(Filing Date)
(Application Serial No.)	(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

PCT/DE99/03362	16 October 1999 /	Pending
(Application Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)
(Application Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)
 (Application Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

agent(s) to prosecute this	application and transact all busin	appoint the following attorney(s) and/or ness in the Patent and Trademark Office
•	name and registration number)	
D Karl Hormann, Esq., Registra	tion_No.: 26,470	
•		
	Law Offices of Karl Hormann	
Send Correspondence to:	Law Offices of Karl Hormann 86 Sparks Street	
•	Cambridge MA 02138-2216	
7 100 PM	Cambridge MA 02130-2210	
a *	(name and telephone number)	
<u>Mr Hormann @ 617.491.8867</u>	<u> </u>	
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##		
Full name of sole or first inventor MEHR, Wolfgang		
Sole or first inventor's signature		Date
		20 April 2001
Residence	Autodougadouf Commons	
Strasse 12, No. 3, D-15754 L	riedersdorf, Germany OEX	
German —		
Post Office Address		
same as residence		
Full name of second inventor, if an	/	
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Second inventor's signature		Date
Residence		
Citizenship		-
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